UNITED STATES PATENT AND TRADEMARK OFFICE

APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
10/635,252	08/06/2003	Thomas B. Zingale	G08.026/U	9453

28062   7590   05/23/2007
BUCKLEY, MASCHOFF & TALWALKAR LLC
50 LOCUST AVENUE
NEW CANAAN, CT 06840

EXAMINER
OSBERG, THUY THANH

ART UNIT	PAPER NUMBER
2179	

MAIL DATE	DELIVERY MODE
05/23/2007	PAPER

Please find below and/or attached an Office communication concerning this application or proceeding.

The time period for reply, if any, is set in the attached communication.

		Application No.	Applicant(s)
		10/635,252	ZINGALE ET AL.
Office Action Summary		Examiner	Art Unit	
		Thuy Osberg	2179	

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE _3_ MONTH(S) OR THIRTY (30) DAYS, WHICHEVER IS LONGER, FROM THE MAILING DATE OF THIS COMMUNICATION.
- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

Status

1)☒ Responsive to communication(s) filed on _06 August 2003_.

2a)☐ This action is **FINAL**.   2b)☒ This action is non-final.

3)☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

Disposition of Claims

4)☒ Claim(s) _1-31_ is/are pending in the application.

    4a) Of the above claim(s) _____ is/are withdrawn from consideration.

5)☐ Claim(s) _____ is/are allowed.

6)☒ Claim(s) _1-31_ is/are rejected.

7)☐ Claim(s) _____ is/are objected to.

8)☐ Claim(s) _____ are subject to restriction and/or election requirement.

Application Papers

9)☐ The specification is objected to by the Examiner.

10)☐ The drawing(s) filed on _____ is/are: a)☐ accepted or b)☐ objected to by the Examiner.

    Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).

    Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).

11)☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

Priority under 35 U.S.C. § 119

12)☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).

    a)☐ All   b)☐ Some *   c)☐ None of:

      1.☐ Certified copies of the priority documents have been received.

      2.☐ Certified copies of the priority documents have been received in Application No. _____.

      3.☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

    * See the attached detailed Office action for a list of the certified copies not received.

Attachment(s)

1)☒ Notice of References Cited (PTO-892)   4)☐ Interview Summary (PTO-413)

2)☐ Notice of Draftsperson's Patent Drawing Review (PTO-948)   Paper No(s)/Mail Date. _____ .

3)☐ Information Disclosure Statement(s) (PTO/SB/08)   5)☐ Notice of Informal Patent Application

    Paper No(s)/Mail Date. _____ .   6)☐ Other: _____ .

DETAILED ACTION

1.   This communication is responsive to the original application filed 08/03/2003.

This action is **Non-Final.** Claims 1-31 are pending and have been examined.

Claim Rejections - 35 USC § 101

2.   **35 U.S.C. 101 reads as follows:**

> Whoever invents or discovers any new and useful process, machine, manufacture, or composition of matter, or any new and useful improvement thereof, may obtain a patent therefor, subject to the conditions and requirements of this title.

3.   **Claims 1-12 and 22-30 are rejected under 35 U.S.C. 101 because the claimed invention is directed to non-statutory subject matter.**

As to claim 1, a "user interface" is being recited; however, the claim constitutes an abstract idea, which lacks a useful, concrete, and tangible result that present non-statutory subject matter.

As such, claims 2-11 are rejected as incorporating the deficiencies of a claim upon which it depends.

As to claim 12, a "user interface" is being recited; however, the claim constitutes a non-functional data structure that present non-statutory subject matter.

As to claim 22, a "medium storing processor-executable" is being recited; however, as disclosed by the specification sections, the Applicant has provided evidence that the Applicant intends the "medium" to include signals. As such, the claim is drawn to a form of energy.

Energy is not one of the four categories of invention and therefore this claim(s) is/are not

statutory. Energy is not a series of steps or acts and thus is not a process. Energy is not a

physical article or object and as such is not a machine or manufacture. Energy is not a

combination of substances and therefor not a composition of matter.

As such, claims 23-30 are rejected as incorporating the deficiencies of a claim upon

which it depends.

Claim Rejections - 35 USC § 102

**4.   The following is a quotation of the appropriate paragraphs of 35 U.S.C. 102 that
form the basis for the rejections under this section made in this Office action:**

A person shall be entitled to a patent unless –

(e) the invention was described in a patent granted on an application for patent by another filed in the United
States before the invention thereof by the applicant for patent, or on an international application by another who
has fulfilled the requirements of paragraphs (1), (2), and (4) of section 371(c) of this title before the invention
thereof by the applicant for patent.

**5.   Claims 1-31 are rejected under 35 U.S.C. 102(e) as being anticipated by Kelly et al.
(US Pub 2003/0103090), hereinafter "Kelly".**

*The Examiner has pointed out particular references contained in the prior
arts of record in the body of this action for the convenience of the Applicant.
Although the specified citations are representation of the teachings in the art
and are applied to the specific limitations within the individual claim, other
passages and figures may apply as well. The Applicant should consider the
entire prior art as applicable as to the limitations of the claims. It is
respectfully requested from the Applicant, in preparing the response, to
consider fully the entire references as potentially teaching all or part of the
claimed invention, as well as the context of the passage as taught by the prior
arts or disclosed by the Examiner.*

As claim 1, Kelly teaches a user interface (fig's. 3-10, shown inside label 30),

comprising:

an entity selection area (fig. 3, label 32) allowing selection of at least one corporate entity from a

plurality of corporate entities (par [0085], lines 3-8);

and a plurality of selectable elements (fig. 3, label 33; par [0086], lines 3-8; par [0088], lines 1-

2), each of the selectable elements being selectable (fig. 3, label 33; par [0086], lines 3-8; par

[0088], lines 1-2) to cause presentation of an associated area (fig. 3, labels 37A-37F; par [0086],

par [0089]),

wherein an area associated with each of the plurality of selectable elements (fig. 3, labels 33,

37A-37F; par [0086]; par [0088]) presents information relating to the at least one corporate

entity and to the associated selectable element (par [0085], par [0086]; par [0088]; par [0095]).

As claim 2, Kelly further teaches at least one of the plurality of entities is related to at

least one other of the plurality of entities (par [0085], that all is related to "John B. User, ACME

Fiduciary Corp").

As claim 3, Kelly further teaches the relation is graphically presented in the entity

selection area (fig. 3, label 32; par [0085]).

As claim 4, Kelly further teaches the information relating to the associated selectable

elements (fig. 3, label 33; par [0086]; par [0088]) comprises one or more of:

information relating to a formation of the at least one corporate entity (fig. 3, labels 33, 34; par

[0086], the research tab will display information about the formation of the company);

a location of corporate documents relating to the at least one corporate entity (fig. 3, labels 33, 34; par [0086], the research tab will display information about security filings);

contact information relating to the at least one corporate entity (fig. 3, labels 33, 34; par [0086], the contact tab will display contact information);

ownership information relating to the at least one corporate entity (fig. 3, labels 33, 34; par [0086], the contact and/or the research tab will display ownership information);

information relating to regulators of the at least one corporate entity (fig. 3, labels 33, 34; par [0086], the contact and/or research tab will regulators information);

information relating to officers of the at least one corporate entity (fig. 3, labels 33, 34; par [0086], the contact and/or research tab will display officers information);

information relating to jurisdictions in which the at least one corporate entity is qualified to do business (fig. 3, labels 30 "GEOmap", 33, 34; par [0086]; par [0104], the GEOmap and/or the research tab will display the jurisdictions (stock exchange) available to perform trades);

information relating to reports filed or to be filed on behalf of the at least one corporate entity (fig. 3, labels 33, 34; par [0086], the research tab will display security filings information);

controllers information relating to the at least one corporate entity (fig. 3, labels 33, 34; par [0086], the research tab will display controllers information);

and funds information relating to the at least one corporate entity (fig. 3, labels 33, 34; par [0086], the quotes and/or the research tab will display funds and/or financial information about the corporate entity).

As claim 5, Kelly further teaches:

a document generation area for receiving instructions to generate a document including information relating to the at least one corporate entity (par [0086]; par [0089]).

As claim 6, Kelly further teaches one of the plurality of selectable elements is selectable to cause presentation of the document generation area (par [0086], lines 3-8; par [0089]).

As claim 7, Kelly further teaches at least one associated area allows editing of the information presented therein (par [0088]; par [0089]; par [0094]).

As claims 8, 18 and 27, Kelly further teaches the at least one associated area allows the editing based on editing rights of a user to whom the interface is presented (par [0094]).

As claim 9, Kelly further teaches at least one associated area presents information indicating an editor of the presented information and a date on which the presented information was edited (fig. 3, label 37c, that BBI Commentary, shows the date and author of the information).

As claim 10, Kelly further teaches at least one associated area presents an indication that information presented therein is in the process of being edited (par [0097], lines 5-9).

As claims 11, 21 and 30, Kelly further teaches at least one of the plurality of selectable elements is selectable (fig. 3, labels 33, 34; par [0086]) to cause presentation of an area presenting images of documents relating to the at least one corporate entity (par [0088]; par [0089]).

As claim 12, Kelly teaches a user interface for presenting corporate information, comprising:

an entity selection area (fig. 3, label 32) allowing selection of at least one corporate entity from a plurality of corporate entities (par [0085]-[0086]);

a formation information area for presenting information relating to a formation of the at least one corporate entity (fig. 3, labels 37A-37F; par [0086]);

a document area for presenting a location of corporate documents relating to the at least one corporate entity (fig. 3, labels 37A-37F; par [0086]);

a contacts area for presenting contact information relating to the at least one corporate entity (fig. 3, labels 37A-37F; par [0086]);

an owners area for presenting ownership information relating to the at least one corporate entity (fig. 3, labels 37A-37F; par [0086]);

a regulators area for presenting information relating to regulators of the at least one corporate entity (fig. 3, labels 37A-37F; par [0086]);

an officers area for presenting information relating to officers of the at least one corporate entity (fig. 3, labels 37A-37F; par [0086]);

a jurisdiction area for presenting information relating to jurisdictions in which the at least one corporate entity is qualified to do business (fig. 3, labels 37A-37F; par [0086]);

a reporting area for presenting information relating to reports filed or to be filed on behalf of the at least one corporate entity (fig. 3, labels 37A-37F; par [0086]);

a controllers area for presenting controllers information relating to the at least one corporate entity (fig. 3, labels 37A-37F; par [0086]);

and a funds area for presenting funds information relating to the at least one corporate entity (fig. 3, labels 37A-37F; par [0086]).

        As claim 13, Kelly teaches a method comprising:

presenting a plurality of selectable elements and an entity selection area (fig. 3, labels 32, 33, par [0085]-[0086]; par [0088]), the entity selection area allowing selection of at least one corporate entity from a plurality of corporate entities (par [0085]; par [0089]);

receiving a selection of the at least one corporate entity (par [0093]);

receiving a selection of one of the plurality of selectable elements (par [0093]);

determining information associated with the at least one corporate entity and the one selected element; and presenting the determined information to a user (par [0086]; par [0093]).

As claim 14, Kelly further teaches at least one of the plurality of entities is related to at least one other of the plurality of entities (par [0085], that all is related to "John B. User, ACME Fiduciary Corp"), and further comprising:

graphically presenting the relation in the entity selection area (fig. 3, label 32; par [0085].

As claim 15, Kelly further teaches the determined information comprises one or more of:

information relating to a formation of the at least one corporate entity (fig. 3, labels 33, 34; par [0086], the research tab will display information about the formation of the company);

a location of corporate documents relating to the at least one corporate entity (fig. 3, labels 33, 34; par [0086], the research tab will display information about security filings);

contact information relating to the at least one corporate entity (fig. 3, labels 33, 34; par [0086], the contact tab will display contact information);

ownership information relating to the at least one corporate entity (fig. 3, labels 33, 34; par [0086], the contact and/or the research tab will display ownership information);

information relating to regulators of the at least one corporate entity (fig. 3, labels 33, 34; par [0086], the contact and/or research tab will regulators information);

information relating to officers of the at least one corporate entity (fig. 3, labels 33, 34; par

[0086], the contact and/or research tab will display officers information);

information relating to jurisdictions in which the at least one corporate entity is qualified to do

business (fig. 3, labels 30 (GEOmap), 33, 34; par [0086]; par [0104]), the GEOmap and/or the

research tab will display the jurisdictions (stock exchange) available to perform trades);

information relating to reports filed or to be filed on behalf of the at least one corporate entity

(fig. 3, labels 33, 34; par [0086], the research tab will display security filings information);

controllers information relating to the at least one corporate entity (fig. 3, labels 33, 34; par

[0086], the research tab will display controllers information);

and funds information relating to the at least one corporate entity (fig. 3, labels 33, 34; par

[0086], the quotes and/or the research tab will display funds and/or financial information about

the corporate entity).

As claim 16, Kelly further teaches:

receiving instructions to generate a document including document information relating to the at

least one corporate entity (par [0087]; par [0088]);

determining the document information (par [0087]; par [0088]);

generating the document (par [0087]; par [0088]);

and presenting the document to the user (par [0086]; par [0087]; par [0088]).

As claims 17 and 26, Kelly further teaches:

receiving instructions to edit the determined information (par [0108]; par [0109]);

determining whether the user is authorized to edit the determined information (par [0107]);

and editing the determined information if it is determined that the user is authorized to edit the determined information (par [0108]).

As claims 19 and 28, Kelly further teaches:

presenting an indication that the determined information is in the process of being edited (par [0097], the indicator "loading" is displayed when files are being edited (updated)).

As claims 20 and 29, Kelly further teaches:

associating information identifying a date on which the information was edited with the edited information (fig. 3, labels 37B, 37C, 37E; par [0086], that the time and date stamps are shown when the information was edited/updated).

As claim 22, Kelly teaches a medium storing processor-executable process steps (fig. 2, label 11; par [0046]; par [0075], lines 1-10, that it is inherent that a PC contains a processor, storage device and instructions to implement a process), the process steps comprising:

a step to present a plurality of selectable elements and an entity selection area (fig. 3, label 32; par [0085]-[0086]), the entity selection area allowing selection of at least one corporate entity from a plurality of corporate entities (fig. 3, label 32; par [0085]-[0086]);

a step to receive a selection of the at least one corporate entity (fig. 3, label 32; par [0086]; par [0088]);

a step to receive a selection of one of the plurality of selectable elements fig. 3, label 33; par [0086]-[0088]);

a step to determine information associated with the at least one corporate entity and the one selected element (fig. 3, label 33; par [0086]; par [0088]; par [0089]);

and a step to present the determined information to a user (par [0086]; par [0088]).

As claim 23, Kelly further teaches at least one of the plurality of entities is related to at

least one other of the plurality of entities (fig. 3, label 32; par [0085], that all is related to "John B.

User, ACME Fiduciary Corp"), and the process steps further comprising:

a step to graphically present the relation in the entity selection area (fig. 3, label 32; par [0085],

that all is related to "John B. User, ACME Fiduciary Corp").

As claim 24, Kelly further teaches the determined information comprises one or more of:

information relating to a formation of the at least one corporate entity (fig. 3, labels 33, 34; par

[0086], the research tab will display information about the formation of the company; par [0088]);

a location of corporate documents relating to the at least one corporate entity (fig. 3, labels 33,

34; par [0086], the research tab will display information about security filings; par [0088]);

contact information relating to the at least one corporate entity (fig. 3, labels 33, 34; par [0086],

the contact tab will display contact information; par [0088]);

ownership information relating to the at least one corporate entity (fig. 3, labels 33, 34; par

[0086], the contact and/or the research tab will display ownership information; par [0088]);

information relating to regulators of the at least one corporate entity (fig. 3, labels 33, 34; par

[0086], the contact and/or research tab will regulators information; par [0088]);

information relating to officers of the at least one corporate entity (fig. 3, labels 33, 34; par

[0086], the contact and/or research tab will display officers information; par [0088]);

information relating to jurisdictions in which the at least one corporate entity is qualified to do

business (fig. 3, labels 30 (GEOmap), 33, 34; par [0086]; par [0104]), the GEOmap and/or the

research tab will display the jurisdictions (stock exchange) available to perform trades; par

[0088]);

information relating to reports filed or to be filed on behalf of the at least one corporate entity

(fig. 3, labels 33, 34; par [0086], the research tab will display security filings information; par

[0088]);

controllers information relating to the at least one corporate entity (fig. 3, labels 33, 34; par

[0086], the research tab will display controllers information; par [0088]);

and funds information relating to the at least one corporate entity (fig. 3, labels 33, 34; par

[0086], the quotes and/or the research tab will display funds and/or financial information about

the corporate entity; par [0088]).

As claim 25, Kelly further teaches:

a step to receive instructions to generate a document including document information relating to

the at least one corporate entity (par [0089]);

a step to determine the document information (par [0089]);

a step to generate the document (par [0089]);

and a step to present the document to the user (par [0089]).

As claim 31, Kelly teaches an apparatus to manage corporate entities (fig's. 3-10,

shown inside label 30), comprising:

a processor (fig. 2, label 11; par [0046]; par [0075], lines 1-10, that it is inherent that a PC

contains a processor, storage device and instructions to implement a process);

and a storage device in communication with said processor and storing instructions adapted to

be executed by said processor to (fig. 2, label 11; par [0046]; par [0075], lines 1-10, that it is

inherent that a PC contains a processor, storage device and instructions to implement a process by communicating between them):

present a plurality of selectable elements and an entity selection area (fig. 3, labels 32, 33) allowing selection of at least one corporate entity from a plurality of corporate entities;

receive a selection of the at least one corporate entity (fig. 3, label 32; par [0086]; par [0088]);

receive a selection of one of the plurality of selectable elements (fig. 3, label 33; par [0086]-[0088]);

determine information associated with the at least one corporate entity and the one selectable element (fig. 3, label 33; par [0086]; par [0088]; par [0089]);

and present the determined information to a user (par [0086]; par [0088]).

Conclusion

6.   The prior art made of record on form PTO-892 and not relied upon is considered pertinent to applicant's disclosure. Applicant is required under 37 C.F.R. 1.111(c) to consider these references fully when responding to this action.
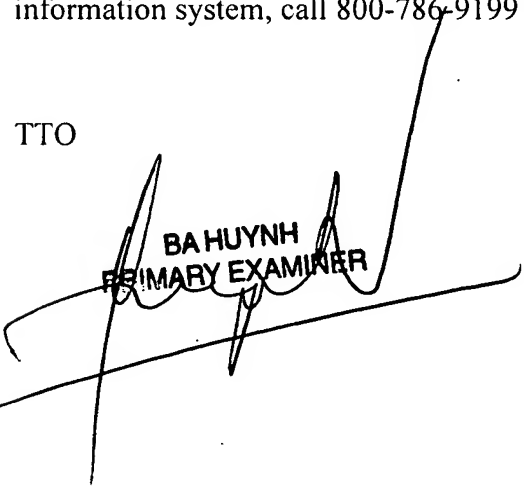

7.   Any inquiry concerning this communication or earlier communications from the examiner should be directed to Thuy Osberg whose telephone number is 571-270-1258. The examiner can normally be reached on Monday-Friday (8:30AM-5:00PM).

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Weilun Lo can be reached on 571-272-4847. The fax phone number for the organization where this application or proceeding is assigned is 571-273-8300.

Information regarding the status of an application may be obtained from the Patent Application

Information Retrieval (PAIR) system. Status information for published applications may be

obtained from either Private PAIR or Public PAIR. Status information for unpublished

applications is available through Private PAIR only. For more information about the PAIR

system, see http://pair-direct.uspto.gov. Should you have questions on access to the Private PAIR

system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free). If you would

like assistance from a USPTO Customer Service Representative or access to the automated

information system, call 800-786-9199 (IN USA OR CANADA) or 571-272-1000.

TTO

BA HUYNH
PRIMARY EXAMINER